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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. KOJIM-448

First Inventor Takanobu TAKEDA et al.

Title SILICON-CONTAINING POLYMER, RESIST COMPOSITION AND PATTERNING PROCESS

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 56]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]  
5. Oath or Declaration [Total Pages 3]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For **CONTINUATION** or **DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

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PATENT TRADEMARK OFFICE

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Name (Print/Type) Anthony J. Zelano

Registration No. (Attorney/Agent)

27,969

Signature

Date

March 1, 2002

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1132 U.S. PTO  
03/01/02

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

|                      |                 |
|----------------------|-----------------|
| Application Number   | Unassigned      |
| Filing Date          | March 1, 2002   |
| First Named Inventor | Takanobu TAKEDA |
| Examiner Name        | Unassigned      |
| Group / Art Unit     | Unassigned      |
| Attorney Docket No.  |                 |

TOTAL AMOUNT OF PAYMENT (\$) 1038

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number: 13-3402
- Deposit Account Name: Millen, White, Zelano & Branigan, P.C.
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

| 1. BASIC FILING FEE |                 |                |                 |                        |
|---------------------|-----------------|----------------|-----------------|------------------------|
| Large Fee Code      | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        |
| 101                 | 740             | 201            | 370             | Utility filing fee     |
| 106                 | 330             | 206            | 165             | Design filing fee      |
| 107                 | 510             | 207            | 255             | Plant filing fee       |
| 108                 | 740             | 208            | 370             | Reissue filing fee     |
| 114                 | 160             | 214            | 80              | Provisional filing fee |
| SUBTOTAL (1)        |                 |                |                 | (\$ 740)               |

### 2. EXTRA CLAIM FEES

| Total Claims       | 21              | -20**          | =               | 1  | X | Fee from below | 18 | = | Fee Paid | 18 |
|--------------------|-----------------|----------------|-----------------|--|---|----------------|----|---|----------|----|
| Independent Claims | 1               | -3**           | =               | 0  | X |                |    | = | 0        |    |
| Multiple Dependent | 1               |                |                 |  | X | 280            |    | = | 280      |    |
| Large Fee Code     | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  |   |                |    |   |          |    |
| 103                | 18              | 203            | 9               | Claims in excess of 20                                     |   |                |    |   |          |    |
| 102                | 84              | 202            | 42              | Independent claims in excess of 3                          |   |                |    |   |          |    |
| 104                | 280             | 204            | 140             | Multiple dependent claim, if not paid                      |   |                |    |   |          |    |
| 109                | 84              | 209            | 42              | ** Reissue independent claims over original patent         |   |                |    |   |          |    |
| 110                | 18              | 210            | 9               | ** Reissue claims in excess of 20 and over original patent |   |                |    |   |          |    |
| SUBTOTAL (2)       |                 |                |                 | (\$ 298)   |   |                |    |   |          |    |

\*\*or number previously paid, if greater, For Reissues, see above

### FEE CALCULATION (continued)

| Large Fee Code                    | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------------------|-----------------|----------------|-----------------|--|----------|
| 105                               | 130             | 205            | 65              | Surcharge - late filing fee or oath  |          |
| 127                               | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                               | 130             | 139            | 130             | Non-English specification  |          |
| 147                               | 2,520           | 147            | 2,520           | For filing a request for reexamination                                     |          |
| 112                               | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 113                               | 1,840*          | 113            | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 115                               | 110             | 215            | 55              | Extension for reply within first month                                     |          |
| 116                               | 400             | 216            | 200             | Extension for reply within second month                                    |          |
| 117                               | 920             | 217            | 460             | Extension for reply within third month                                     |          |
| 118                               | 1,440           | 218            | 720             | Extension for reply within fourth month                                    |          |
| 128                               | 1,960           | 228            | 980             | Extension for reply within fifth month                                     |          |
| 119                               | 320             | 219            | 160             | Notice of Appeal   |          |
| 120                               | 320             | 220            | 160             | Filing a brief in support of an appeal                                     |          |
| 121                               | 280             | 221            | 140             | Request for oral hearing   |          |
| 138                               | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              |          |
| 140                               | 110             | 240            | 55              | Petition to revive - unavoidable   |          |
| 141                               | 1,280           | 241            | 640             | Petition to revive - unintentional   |          |
| 142                               | 1,280           | 242            | 640             | Utility issue fee (or reissue)   |          |
| 143                               | 460             | 243            | 230             | Design issue fee   |          |
| 144                               | 620             | 244            | 310             | Plant issue fee  |          |
| 122                               | 130             | 122            | 130             | Petitions to the Commissioner  |          |
| 123                               | 130             | 123            | 130             | Petitions related to provisional applications                              |          |
| 126                               | 180             | 126            | 180             | Submission of Information Disclosure Stmt                                  |          |
| 581                               | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) |          |
| 146                               | 740             | 246            | 370             | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                               | 740             | 249            | 370             | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                               | 740             | 279            | 370             | Request for Continued Examination (RCE)                                    |          |
| 169                               | 900             | 169            | 900             | Request for expedited examination of a design application                  |          |
| Other fee (specify) _____         |                 |                |                 |  |          |
| *Reduced by Basic Filing Fee Paid |                 |                |                 | SUBTOTAL (3)   | (\$ 0)   |

### SUBMITTED BY

|                   |                   |                                  |        |           |                |
|-------------------|-------------------|----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Anthony J. Zelano | Registration No. Attorney/Agent) | 27,969 | Telephone | (703) 243-6333 |
| Signature         |                   |                                  |        | Date      | March 1, 2002  |

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